

Appendix B

Performance Evaluation and Measurement Plan FY 2007

Princeton Plasma Physics Laboratory

A Department of Energy National Laboratory



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INTRODUCTION

This document, the Performance Evaluation and Measurement Plan (PEMP), primarily serves as DOE's Quality Assurance/Surveillance Plan (QASP) for the evaluation of Princeton University (hereafter referred to as "the Contractor") performance regarding the management and operations of the Princeton Plasma Physics Laboratory (hereafter referred to as "the Laboratory") for the evaluation period from **October 1, 2006**, through **September 30, 2007**. The performance evaluation provides a standard by which to determine whether the Contractor is managerially and operationally in control of the Laboratory and is meeting the mission and requirement performance expectations/objectives of the Department as stipulated within this contract.

This document also describes the distribution of the total available performance-based fee and the methodology for determining the amount of fee earned by the Contractor as stipulated within the clauses entitled, "Determining the Contractors Performance Rating and Performance-Based Fee," and "Determining the Performance-Based Fee Earned." In partnership with the Contractor and other key customers, the Department of Energy (DOE) Headquarters (HQ) and the Site Office have defined the measurement basis that serves as the Contractor's performance-based evaluation and fee determination.

The Performance Goals (hereafter referred to as Goals), Performance Objectives (hereafter referred to as Objectives), and set of Performance Measures and Targets were developed in accordance with contract expectations set for the within the contract. The Performance Measures for meeting the Objectives set for the within this plan have been developed in coordination with HQ program offices as appropriate. Except as otherwise provided for within the contract, the evaluation and fee determination will rest solely on the Contractor's performance within the Performance Goals and Objectives set forth within this plan.

The set of Performance Measures identified for each Objective represent the set of significant indicators that if fully met, collectively places performance for the Objective in the "B+" evaluation grade. For some targets, it serves the evaluator to provide additional grading details (for example at the A, C+ and D levels) and in those cases these details have been included in the PEMP. However, these should be considered as guidelines that do not restrict the evaluator from considering other factors that contribute to the evaluation.

The overall performance against each Objective of this performance plan, to include the evaluation of Performance Measures identified for each Objective, shall be evaluated jointly by the appropriate HQ office or major customer and the Site Office. This cooperative review methodology will ensure that the overall evaluation of the Contractor results in a consolidated DOE position taking into account specific Performance Measures as well as all additional information not otherwise identified via specific Performance Measures. The Site Office shall work closely with each HQ program office or major customer throughout the year in evaluating the Contractor's performance and will provide observations regarding programs and projects as well as other management and operation activities conducted by the Contractor throughout the year.

Section I provides information on how the performance rating (grade) for the Contractor, as well as how the performance-based fee earned will be determined.

Section II provides the detailed information concerning each Goal, their corresponding Objectives, and Performance Measures of performance identified, along with the weightings assigned to each Goal and Objective and a table for calculating the final score for each Goal.

Section III provides a tabulation of performance goals and objectives.

I. DETERMINING THE CONTRACTOR'S PERFORMANCE RATING AND PERFORMANCE-BASED FEE

The FY 2007 Contractor performance grades will be determined based on the weighted sum of the individual scores earned for each of the Goals described within this document for Science and Technology and for Management and Operations (see Table A below). No overall rollup grade will be provided. Performance evaluations shall be measured and graded at the Objective level, which rollup to provide the performance evaluation determination for each Goal. Performance evaluations will be rolled up for an overall grade for Science and Technology and for Management and Operations. The rollup of the performance of each Goal will then be utilized to determine the overall Contractor performance grade for Science and Technology and Management and Operations. The total overall points derived for Science and Technology will be utilized to determine the amount of available fee that may be earned (see Table C). Each Goal is composed of two or more weighted Objectives and each Objective has a set of Performance Measures, which are identified to assist the reviewer in determining the Contractor's overall performance in meeting that Objective. Each of the Measures identifies significant activities, requirements, and/or milestones important to the success of the corresponding Objective and shall be used as the primary means of determining the Contractor's success in meeting the Objective. Although the Performance Measures are the primary means for determining performance, other performance information available to the PSO from other sources to include, but not limited to, the Contractor's self-evaluation report, operational awareness (daily oversight) activities; "For Cause" reviews (if any); other outside agency reviews (OIG, GAO, DCAA, etc.), may be utilized in determining the Contractor's overall success in meeting an Objective.

Performance Evaluation Methodology:

The purpose of this section is to establish a methodology to develop scoring at the Objective Level. Each Objective within a Goal shall be assigned a numerical score, per Figure I-1 below, by the evaluating office. Each evaluation will measure the degree of effectiveness and performance of the Contractor in meeting the Objective and shall be based on the Contractor's success in meeting the set of Performance Measures identified for each Objective as well as other performance information available to the evaluating office from other sources as identified above. The set of Performance Measures identified for each Objective represent the set of significant indicators that if fully met, collectively places performance for the Objective in the "B+" grade range. For some targets, it serves the evaluator to provide additional grading details (for example at the A, C+, and D levels) and in those cases details have been included in the PEMP. However, these should be considered as guidelines that do not restrict the evaluation from considering other factors that contribute to the evaluation.

| Letter Grade | Numeric Grade | Definition |
|--------------|---------------|---|
| A+ | 4.3 – 4.1 | Significantly exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance have or have the potential to significantly improve the overall mission of the Laboratory. No specific deficiency noted within the purview of the overall Objective being evaluated. |
| A | 4.0 – 3.8 | Notably exceeds expectations of performance as set within performance measures identified for each Objective or within other areas within the purview of the Objective. Areas of notable performance either have or have the potential to improve the overall mission of the Laboratory. Minor deficiencies noted are more than offset by the positive performance within the purview of the overall Objective being evaluated and have no potential to adversely impact the mission of the Laboratory. |
| A- | 3.7 – 3.5 | Meets expectations of performance as set within performance measures identified for each Objective with some notable areas of increased performance identified. Deficiencies noted are offset by the positive performance within the purview of the overall Objective being evaluated with little or no potential to adversely impact the mission of the Laboratory. |
| B+ | 3.4 – 3.1 | Meets expectations of performance as set by the performance measures identified for each Objective with no notable areas of increased or diminished performance identified. Deficiencies identified are offset by positive performance and have little to no potential to adversely impact the mission of the Laboratory. |
| B | 3.0 – 2.8 | Most expectations of performance as set by the performance measures identified for each Objective are met and/or other minor deficiencies are identified. Performance measures or |

| Letter Grade | Numeric Grade | Definition |
|--------------|---------------|---|
| | | other minor deficiencies identified are offset by positive performance within the purview of the Objective and have little to no potential to adversely impact the mission of the Laboratory. |
| B- | 2.7 – 2.5 | One or two expectations of performance set by the performance measures are not met and/or other deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment. |
| C+ | 2.4 – 2.1 | Some expectations of performance set by the performance measures are not met and/or other minor deficiencies are identified and although they may be offset by other positive performance, they may have the potential to negatively impact the Objective or overall Laboratory mission accomplishment. |
| C | 2.0 – 1.8 | A number of expectations as set by the performance measures are not met and/or a number of other deficiencies are identified and although they may be somewhat offset by other positive performance, they have the potential to negatively impact the Objective or overall Laboratory mission accomplishment. |
| C- | 1.7 – 1.1 | Most expectations as set by the performance measures are not met and/or other major deficiencies are identified which have or will negatively impact the Objective or overall Laboratory mission accomplishment if not immediately corrected. |
| D | 1.0 – 0.8 | Most or all expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have negatively impacted the Objective and/or overall Laboratory mission accomplishment. |
| F | 0.7 – 0.0 | All expectations as set by the performance measures are not met and/or other significant deficiencies are identified which have significantly impacted both the Objective and the accomplishment of the Laboratory mission. |

Figure I-1 Letter Grade and Numerical Score Definitions

Calculating Individual Goal Scores and Letter Grade:

Each Objective is assigned the earned numerical score by the evaluating office as stated above. The Goal rating is then computed by multiplying the numerical score by the weight of each Objective within a Goal. These values are then added together to develop an overall score for each Goal. A set of tables is provided at the end of each Performance Goal section of this document to assist in the calculation of Objective scores to the Goal score. Using Table A, below, the scores for each of the S&T Goals and M&O Goals are then multiplied by the weight assigned and these are summed to provide an overall score for each. The total score for S&T and M&O is compared to the letter grade scale found in Table B, below, to determine the overall S&T and M&O grades for FY 2007.

The raw score (rounded to the nearest hundredth) from each calculation shall be carried through to the next stage of the calculation process. The raw score for S&T and M&O will be rounded to the nearest tenth of a point for purposes of identifying the overall letter grade as indicated in Table B and for utilization in determining the fee as indicated in Table C. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.40), while x.45 and greater rounds up to the nearest tenth (here, x.50).

| S&T Performance Goal | Numerical Score | Letter Grade | Weight | Weighted Score | Total Score |
|--|------------------------|---------------------|---------------|-----------------------|--------------------|
| 1.0 Mission Accomplishment | | | 50% | | |
| 2.0 Construction and Operations of User Research Facilities and Equipment | | | 25% | | |
| 3.0 Science and Technology Research Project/Program Management | | | 25% | | |
| Total Score | | | | | |
| M&O Performance Goal | Numerical Score | Letter Grade | Weight | Weighted Score | Total Score |
| 4.0 Leadership and Stewardship of the Laboratory | | | 20% | | |
| 5.0 Integrated Safety, Health, and Environmental Protection | | | 20% | | |
| 6.0 Business Systems | | | 20% | | |
| 7.0 Operating, Maintaining, and Renewing Facility and Infrastructure Portfolio | | | 20% | | |
| 8.0 Integrated Safeguards and Security Management and Emergency Management Systems | | | 20% | | |
| Total Score | | | | | |

Table A. FY 2007 Contractor Evaluation Score Calculation

| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |
|--------------------|-----------|----------|-----------|-----------|----------|-----------|-----------|----------|-----------|----------|----------|
| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |

Table B. FY 2007 Contractor Letter Grade scale

Determining the Performance-Based Fee (\$100,000.00) Earned:

The payment of the performance-based fee (\$100,000.00 for FY07) shall be determined based on the overall weighted score for the S&T Goals (see Table A above) and then compared to Table C. below. The overall numerical score of the M&O Goals from Table A above shall then be utilized to determine the final fee multiplier (see Table C), which shall be utilized to determine the overall amount of performance-based fee (\$100,000.00) earned for FY 2007 as calculated within Table C.

| Grade | Overall Weighted Score for S&T and M&O | S&T Fee Earned | M&O Fee Multiplier |
|--------------|---|---------------------------|-------------------------------|
| A+ | 4.1 - 4.3 | 100% | 100% |
| A | 3.8 - 4.0 | 100% | 100% |
| A- | 3.5 - 3.7 | 100% | 100% |
| B+ | 3.1 - 3.4 | 100% | 100% |
| B | 2.8 - 3.0 | 0% | 100% |
| B- | 2.5 - 2.7 | 0% | 100% |
| C+ | 2.1 - 2.4 | 0% | 0% |
| C | 1.8 - 2.0 | 0% | 0% |
| C- | 1.1 - 1.7 | 0% | 0% |
| D | 0.8 - 1.0 | 0% | 0% |
| F | 0.0 - 0.7 | 0% | 0% |

Table C. Fee Determination Table (Performance-Based Fee Earned Scale)

For Performance Fee Calculation: (S&T Gateway) X (Ops Multiplier) = Fee/No Fee

Adjustment to the Letter Grade and/or Performance-Based Fee Determination:

The Performance Goals and their corresponding Performance Objectives are to be the primary means utilized in determining the contractor's performance grade and/or amount of performance-based fee earned, the Contracting Officer may unilaterally adjust the rating and/or reduce the otherwise earned fee based on the contractor's performance against all contract requirements. Data to support rating and/or fee adjustments may be derived from other sources to include, but not limited to, operational awareness (daily oversight) activities; "For Cause" reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.).

The adjustment of a grade and/or reduction of otherwise earned fee should be determined by the severity of the performance failure and consideration of mitigating factors. Examples of severity of performance and mitigating factors may be found within the policies described in DEAR 970.5215-3 Regulation; Conditional Payment of Fee, Profit, and Other Incentives- Facility Management Contracts.

The final laboratory contractor performance grades and fee earned will be determined during the annual SC Performance Meeting discussed above and contained within a year-end report, documenting the results from the DOE review. The report is to identify areas where performance improvement is necessary and, if required, provide the basis for any grade and/or fee adjustments made from the otherwise earned grades or fee based on Performance Goal achievements.

II PERFORMANCE GOALS, OBJECTIVES & MEASURES

Background:

The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance, best business practices, cost management, and improved contractor accountability. Under the performance-based management system the DOE provides clear direction to the laboratories and develops annual performance plans (such as this one) to assess the contractors performance in meeting that direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance objectives are established in partnership with affected organizations and are directly aligned to the DOE strategic goals;
- Resource decisions and budget requests are tied to results; and,
- Results are used for management information, establishing accountability, and driving long-term improvements.

The performance-based approach focuses the evaluation of the Contractor's performance against these Performance Goals. Progress against these Goals is measured through the use of a set of Objectives. The success of each Objective will be measured based on a set of Performance Measures, both objective and subjective, that are to focus primarily on end-results or impact and not on processes or activities. Measures provide specific evidence of performance, and collectively, they provide the body of evidence that indicates performance relative to the corresponding Objectives. On occasion however, it may be necessary to include a process/activity-oriented measure when there is a need for the Contractor to develop a system or process that does not currently exist but will be of significant importance to the DOE and the Laboratory when completed or that lead to the desired outcome/result.

Performance Goals, Objectives, and Measures:

The following sections describe the Performance Goals, their supporting Objectives, and associated performance measures FY07.

1.0 Provide for Efficient and Effective Mission Accomplishment

The Contractor produces high-quality, original, and creative results that advance science and technology; demonstrates sustained scientific progress and impact; receives appropriate external recognition of accomplishments; and contributes to overall research and development goals of the Department and its customers.

The weight of this Goal is 50%

The Provide for Efficient and Effective Mission Accomplishment Goal measures the overall effectiveness and performance of the Contractor in delivering science and technology results which contribute to and enhance the DOE's mission of protecting our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge by supporting world-class, peer-reviewed scientific results, which are recognized by others. This includes the Contractor's support to the US Contributions to ITER (US ITER) Project being managed by the DOE Oak Ridge National Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see table 1.1). The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2007.

- Office of Advanced Scientific Computing Research (ASCR) (TBD%)
- Office of Fusion Energy Sciences (FES) (TBD%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (TBD%)

The Overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see table 1.2 below). The overall score earned is then compared to Table 1.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 1.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of BA for FY 2007 as compared to the total BA for those remaining HQ Program Offices.

1.1 Science and Technology Results Provide Meaningful Impact on the Field.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc:

- The impact of publications on the field;
- Publication in journals outside the field indicating broad impact;
- Impact on DOE or other customer mission(s);
- Successful stewardship of mission-relevant research areas;
- Significant awards (R&D 100, FLC, Nobel Prizes, etc.)
- Invited talks, citations, making high-quality data available to the scientific community; and
- Development of tools and techniques that become standards or widely-used in the scientific community.

The Weight for this objective is 30%

| | |
|----------------|--|
| A to A+ | Changes the way the research community thinks about a particular field; resolves critical questions and thus moves research areas forward; results generate huge interest/enthusiasm in the field. |
| B+ | Impacts the community as expected. Strong peer review comments in all relevant areas. |
| B | Not strong peer review comments in at least one significant research area. |
| C | One research area just not working out. Peer review reveals that a program isn't going anywhere. |
| D | Failure of multiple program elements. |
| F | Gross scientific incompetence and/or scientific fraud. |

1.2 Provide Quality Leadership in Science and Technology.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Program office reviews/oversight, etc.

- Willingness to pursue novel approaches and/or demonstration of innovative solutions to problems;
- Willingness to take on high-risk/high payoff/long-term research problems, evidence that the Contractor "guessed right" in that previous risky decisions proved to be correct and are paying off;
- The uniqueness and challenge of science pursued, recognition for doing the best work in the field;
- Extent of collaborative efforts, quality of the scientists attracted and maintained at the laboratory;
- Staff members visible in leadership position in the community; and
- Effectiveness in driving the direction and setting the priorities of the community in a research field.

The weight for this objective is 20%

| | |
|----------------------|---|
| A to A+ | Laboratory staff led Academy or equivalent panels; laboratory's work changes the direction of research fields; world-class scientists are attracted to the laboratory, lab is trend-setter in a field. |
| B⁺ | Strong research performer in most areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; lab is center for high-quality research and attracts full cadre of researchers; some aspects of programs are world-class. |
| B | Strong research performer in many areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; few aspects of programs are world-class. |
| C | Working on problems no longer at the forefront of science; stale research; evolutionary, not revolutionary. |
| D | Failure of multiple program elements. |
| F | Gross scientific incompetence and/or scientific fraud. |

1.3 Provide and Sustain and Technology Outputs that Advance Program Objectives and Goals.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured through progress reports, peer reviews, Field Work Proposals (FWPs), Program Office reviews/oversight, etc.

- The number of publications in peer-reviewed journals;
- The quantity of output from experimental and theoretical research; and
- Demonstrated progress against peer review recommendations, headquarters guidance, etc.

The Weight for this objective is 30%

| | |
|-------------|---|
| Pass | Not failing; see below. |
| Fail | Peer reviewers not satisfied; output not meeting general scientific standards; minimal progress against Field Work Proposal (FWPs). |

Note: The numerical grade for "Pass" is 4.3 and for "Fail" it is 0.7.

1.4 Provide for Effective Delivery of Science and Technology.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer review, Field Work Proposals (FWPs), Approved Financial Plans (AFPs) Program Office review/oversight, etc.

- Efficiency and effectiveness timeliness in meeting goals and milestones;
- Efficiency and effectiveness in delivering on promises, getting instruments to work as promised; and

- Efficiency and effectiveness in transmitting results to the community, and responding to DOE or customer guidance.

The weight for this objective is 20%

| | |
|-------------|--|
| Pass | Not failing; see below. |
| Fail | Peer reviewers, HQ not satisfied; significant number of milestones not met, results not delivered to community while it matters. |

Note: The numerical grade for “Pass” is 4.3 and for “Fail” it is 0.7.

| Science Program Office ¹ | Letter Grade | Numerical Score | Weight | Weighted Score | Overall Score |
|--|--------------|-----------------|--------|----------------|---------------|
| Office of Advanced Scientific Computing Research | | | | | |
| 1.1 Impact | | | 40% | | |
| 1.2 Leadership | | | 30% | | |
| 1.3 Output | | | 15% | | |
| 1.4 Delivery | | | 15% | | |
| Overall ASCR Total | | | | | |
| Office of Fusion Energy Sciences | | | | | |
| 1.1 Impact | | | 29% | | |
| 1.2 Leadership | | | 36% | | |
| 1.3 Output | | | 18% | | |
| 1.4 Delivery | | | 17% | | |
| Overall FES Total | | | | | |
| Office of Workforce Development for Teachers and Scientists | | | | | |
| 1.1 Impact | | | 25% | | |
| 1.2 Leadership | | | 30% | | |
| 1.3 Output | | | 30% | | |
| 1.4 Delivery | | | 15% | | |
| Overall WDTs Total | | | | | |

Table 1.1 – 1.0 Program Office Performance Goal Score Development

- ¹ A complete listing of the S&T Goals & Objectives weightings for the SC Programs is provided within Attachment I of this plan.

| Science Program Office | Letter Grade | Numerical Score | Funding ² Weight (BA) | Weighted Score | Overall Weighted Score |
|--|--------------|-----------------|----------------------------------|----------------|------------------------|
| Office of Advanced Scientific Computing Research | | | TBD% | | |
| Office of Fusion Energy Sciences | | | TBD% | | |
| Office of Workforce Development for Teachers and Scientists | | | TBD% | | |

Performance Goal 1.0 Total

Table 1.2 – Overall Performance Goal Score Development

- 2 The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2007.

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
|--------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 1.3– 1.0 Goal Final Letter Grade

2.0 Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities

The Contractor provides effective and efficient strategic planning; fabrication, construction and/or operations of Laboratory research facilities; and are responsive to the user community.

The weight of this goal is 25%.

The Provide for Efficient and Effective Design, Fabrication, Construction and Operations of Research Facilities Goal shall measure the overall effectiveness and performance of the Contractor in planning for and delivering leading-edge specialty research and/or user facilities to ensure the required capabilities are present to meet today's and tomorrow's complex challenges. It also measures the Contractor's innovative operational and programmatic means for implementation of systems that ensures the availability, reliability, and efficiency of these facilities; and the appropriate balance between R&D and user support. This includes the Contractors support to the US Contributions to ITER (US ITER) Project being managed by the DOE Oak Ridge National Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see table 2.1). The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2007.

- Office of Fusion Energy Sciences (FES) (100%)

The Overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see table 2.2 below). The overall score earned is then compared to Table 2.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are

provided within Table 2.1. The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of BA for FY 2007 as compared to the total BA for those remaining HQ Program Offices.

2.1 Provide Effective Facility Design(s) as Required to Support Laboratory Programs (i.e. activities leading up to CD-2)

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by scientific/technical workshops developing pre-conceptual R&D, progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Effectiveness of planning of pre-conceptual R&D and design for life-cycle efficiency;
- Leverage of existing facilities at the site;
- Delivery of accurate and timely information needed to carry out the critical decision and budget formulation process; and
- Ability to meet the intent of DOE Order 413.3A, "Program and Project Management for the Acquisition of Capital Assets".

The weight of this objective is 22%

| | |
|----------------|---|
| A to A+ | In addition to meeting all measures under B ⁺ , the laboratory is recognized by the research community as the leader for making the science case for the acquisition; takes the initiative to demonstrate the potential for revolutionary scientific advancement. Identifies, analyzes and champions novel approaches for acquiring the new capability, including leveraging or extending the capability of existing facilities and financing. Proposed approaches are widely regarded as innovative, novel, comprehensive, and potentially cost-effective. Reviews repeatedly confirm potential for scientific discovery in areas that support the Department's mission, and potential to change a discipline or research area's direction. |
| B+ | Provides the overall vision for the acquisition. Displays leadership and commitment to achieving the vision within preliminary estimates that are defensible and credible in terms of cost, schedule and performance; develops quality analyses, preliminary designs, and related documentation to support the approval of the mission need (CD-0), the alternative selection and cost range (CD-1) and the performance baseline (CD-2). Solves problems and addresses issues. Keeps DOE apprised of the status, near-term plans and the resolution of problems on a regular basis. Anticipates emerging issues that could impact plans and takes the initiative to inform DOE of possible consequences. |
| B | Fails to meet expectations in one of the areas listed under B ⁺ . |
| C | The laboratory team develops the required analyses and documentation in a timely manner. However, inputs are mundane and lack innovation and commitment to the vision of the acquisition. |
| D | The potential exists for credible science and business cases to be made for the acquisition, but the laboratory fails to take advantage of the opportunity. |
| F | Proposed approaches are based on fraudulent assumptions; the science case is weak to non-existent, the business case is seriously flawed. |

2.2 Provide for Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, Post CD-2 to CD-4)

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, Lehman reviews, Program/Staff Office reviews/oversight, etc.:

- Adherence to DOE Order 413.3A Project Management for the Acquisition of Capital Assets;
- Successful fabrication of facility components;
- Effectiveness in meeting, construction schedule and budget; and
- Quality of key staff overseeing the project (s).

The weight of this objective is 23%

| | |
|----------------|--|
| A to A+ | Laboratory has identified and implemented practices that would allow the project scope to be increased if such were desirable, without impact on baseline cost or schedule; Laboratory always provides exemplary project status reports on time to DOE and takes the initiative to communicate emerging problems or issues. There is high confidence throughout the execution phase that the project will meet its cost/schedule performance baseline; reviews identify environment, safety and health practices to be exemplary. |
| B+ | The project meets CD-2 performance measures; the laboratory provides sustained leadership and commitment to environment, safety and health; reviews regularly recognize the laboratory for being proactive in the management of the execution phase of the project; to a large extent, problems are identified and corrected by the laboratory with little, or no impact on scope, cost or schedule; DOE is kept informed of project status on a regular basis; reviews regularly indicate project is expected to meet its cost/schedule performance baseline. |
| B | The project fails to meet expectations in one of the areas listed under B+. |
| C | Reviews indicate project remains at risk of breaching its cost/schedule performance baseline; Laboratory commitment to environment, safety and health issues is adequate; reports to DOE can vary in degree of completeness; Laboratory commitment to the project appears to be subsiding. |
| D | Reviews indicate project is likely to breach its cost/schedule performance baseline; and/or Laboratory commitment to environment, safety and health issues is inadequate; reports to DOE are largely incomplete; laboratory commitment to the project has subsided. |
| F | Laboratory falsifies data during project execution phase; shows disdain for executing the project within minimal standards for environment, safety or health, fails to keep DOE informed of project status; reviews regularly indicate that the project is expected to breach its cost/schedule performance baseline. |

2.3 Provide Efficient and Effective Operation of Facility.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by progress reports, peer reviews, Program/Staff Office reviews/oversight, performance against benchmarks, Approved Financial Plans (AFPs) etc.

- Availability, reliability, and efficiency of facility(ies);
- Degree the facility is optimally arranged to support community;
- Whether R&D is conducted to develop/expand the capabilities of the facility(ies);
- Effectiveness in balancing resources between R&D and user support; and
- Quality of the process used to allocate facility time to users.

The weight of this objective is 45%

| | |
|----------------|---|
| A to A+ | Performance of the facility exceeds expectations as defined before the start of the year in any of these categories: cost of operations, users served and availability, beam delivery, luminosity and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations are less than planned and are acknowledged to be 'leadership caliber' by reviews. Data on ES&H continues to be exemplary and widely regarded as among the "best in class". |
| B+ | Performance of the facility meets expectations as defined before the start of the year in all of these categories: cost of operations, users served and availability, beam delivery, luminosity and this performance can be directly attributed to the efforts of the laboratory; and /or: the schedule and the costs associated with the ramp-up to steady state operations occur as planned; Data on ES&H continues to be very good as compared with other projects in the DOE. |
| B | The project fails to meet expectations in one of the areas listed under B+. |
| C | Performance of the facility fails to meet expectations in several of the areas listed under B+. For example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low, the number of users is unexpectedly low, beam delivery or luminosity is well below expectations. The Facility operates at steady state, on cost and on schedule, but the reliability of performance is somewhat below planned values, or facility operates at steady state, but the associated schedule and costs exceed planned values. Commitment to ES&H is satisfactory. |
| D | Performance of the facility fails to meet expectations in many of the areas listed under B+. For example, the cost of operations is unexpectedly high and availability of the facility is unexpectedly low. The facility operates somewhat below steady state, on cost and on schedule, and the reliability performance is somewhat below planned values, or facility operates at steady state, but the schedule and costs associated exceed planned values. Commitment to ES&H is satisfactory. |
| F | The facility fails to operate; The facility operates well below steady state and/or the reliability of the performance is well below planned values. |

2.4 Utilization of Facility to Grow and Support Lab's Research Base and External User Community

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, participation in international design teams, Program/Staff Office reviews/oversight, etc.:

- The facility is being used to perform influential science;
- Contractor's efforts to take full advantage of the facility to strengthen the Laboratory's research base; and
- Conversely, the facility is strengthened by a resident research community that pushes the envelope of what the facility can do and/or are among the scientific leaders using the facility.
- Contractor's ability to appropriately balance access by internal and external user communities; and
- There is a healthy program of outreach to the scientific community.

The weight of this objective is 10%

| | |
|----------------------|--|
| A to A+ | Reviews document that multiple disciplines are using the facility in new and novel ways, that the facility is being used to pursue influential science, that full advantage has been taken of the facility to enhance external user access, and strengthen the laboratory's research base. A healthy outreach program is in place. |
| B⁺ | Reviews state strong and effective team approach exists toward establishing a large external and internal user community; that the facility is be used for influential science; the laboratory is capitalizing on existence of facility to grow internal capabilities. A healthy outreach program is in place |
| B | Reviews state that lab is establishing an external and internal user community, but laboratory is still not capitalizing fully on existence of facility to grow internal capabilities and/or reach out to external users. |
| C | Reviews state that the laboratory has made satisfactory use of the facility, but has not demonstrated much innovation. |
| D | Few facility users, with none using it in novel ways; research base is very thin. |
| F | Laboratory does not know how to operate/use its own facility adequately. |

| Science Program Office¹ | Letter Grade | Numerical Score | Weight | Weight Score | Overall Score |
|---|---------------------|------------------------|---------------|---------------------|----------------------|
| Office of Fusion Energy Sciences | | | | | |
| 2.1 Provide Effective Facility Design(s) | | | 8% | | |
| 2.2 Provide for the Effective and Efficient Construction of Facilities and/or Fabrication of Components | | | 25% | | |
| 2.3 Provide Efficient and Effective Operation of Facilities | | | 53% | | |
| 2.4 Provide Effective Utilization of Facilities to Grow and Support the Laboratory's Research Base | | | 14% | | |
| Overall FES Total | | | | | |

Table 2.1 – 2.0 Program Office Performance Goal Score Development

¹ A complete listing of S&T Goals & Objectives weightings for the SC Programs is provided Within Attachment I to this plan.

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 07-0.0 |
|--------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|---------------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 2.2 – 2.0 Goal Final Letter Grade

3.0 Provide Effective and Efficient Science and Technology Program

Management

The Contractor provides effective program vision and leadership; strategic planning and development of initiatives; recruits and retains a quality scientific workforce; and provides outstanding research processes, which improve research productivity.

The weight of this goal is 25%.

The Provide Effective and Efficient Science and Technology Program Management Goal shall measure the Contractor's overall management in executing S & T programs. Dimensions of program management covered include: 1) providing key competencies to support research programs to include key staffing requirements; 2) providing quality research plans that take into account technical risks, identify actions to mitigate risks; and 3) maintaining effective communications with customers to include providing quality responses to customer needs.

Each Objective within this Goal is to be assigned the appropriate numerical score by the Office of Science Program Office as identified below. The overall Goal score from each Program Office is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see table 3.1). The final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget Authority for FY 2007.

- Office of Advanced Scientific Computing Research (ASCR) (TBD%)
- Office of Fusion Energy Sciences (FES) (TBD%)
- Office of Workforce Development for Teachers and Scientists (WDTS) (TBD%)

The Overall performance score and grade for this Goal will be determined by multiplying the overall score assigned by each of the offices identified above by the weightings identified for each and then summing them (see table 3.2 below). The overall score earned is then compared to Table 3.3 to determine the overall letter grade for this Goal. Individual Program Office weightings for each of the Objectives identified below are provided within Table 3.1.

The Contractor's success in meeting each Objective shall be determined based on the Contractor's performance as viewed by the Office of Science Program Offices for which the Laboratory conducts work. Should one or more of the HQ Program Offices choose not to provide an evaluation for this Goal and its corresponding Objectives the weighting for the remaining HQ Program Offices shall be recalculated based on their percentage of BA for FY 2007 as compared to the total BA for those remaining HQ Program Offices.

3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Program Vision.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as

determined by SC and scientific community review, Program Office review/oversight, etc:

- Efficiency and effectiveness of joint planning (e.g. workshops) with outside community;
- Articulation of scientific vision;
- Development of core competencies, ideas for new facilities and research programs; and
- Ability to attract and retain highly qualified staff.

The weight of this objective is 40%

| | |
|----------------|--|
| A to A+ | Providing strong programmatic vision that extends past the laboratory and for which the lab is a recognized leader within SC and in the broader research communities; development and maintenance of outstanding core competencies, including achieving superior scientific excellence in both exploratory, high-risk research and research that is vital to the DOE/SC missions; attraction and retention of world-leading scientists; recognition within the community as a world leader in the field. |
| B+ | Coherent programmatic vision within the laboratory with input from and output to external research communities; development and maintenance of strong core competencies that are cognizant of the need for both high-risk research and stewardship for mission-critical research; attracting and retaining scientific staff who are very talented in all programs. |
| B | Programmatic vision that is only partially coherent and not entirely well connected with external communities; development and maintenance of some, but not all core competencies with attention to, but not always the correct balance between, high-risk and mission-critical research; attraction and retention of scientific staff that are talented in most programs. |
| C | Failure to achieve a coherent programmatic vision with little or no connection with external communities; partial development and maintenance of core competencies (i.e., some are neglected) with imbalance between high-risk and mission-critical research; attracting only mediocre scientists while losing the most talented ones. |
| D | Minimal attempt to achieve programmatic vision; little ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; minimal success in attracting even reasonably talented scientists. |
| F | No attempt made to achieve programmatic vision; no demonstrated ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; failure to attract even reasonably talented scientists. |

3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Ongoing Management.

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by peer reviews, existence and quality of strategic plans as determined by SC and scientific community review, Program Office and scientific community review/oversight, etc.:

- Quality of R&D and/or user facility strategic plans;
- Adequate consideration of technical risks;
- Success in identifying/avoiding technical problems;
- Effectiveness in leveraging (synergy with) other areas of research; and
- Demonstration of willingness to make tough decisions (e.i. cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.).

The weight of this objective is 40%

| | |
|----------------|--|
| A to A+ | Research plans are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; plans are robust against budget fluctuations – multiple contingencies planned for; new initiatives are proposed and funded through reallocation of resources from less effective programs; plans are updated regularly to reflect changing scientific and fiscal conditions; plans include ways to reduce risk, duration of programs. |
| B* | Plans are reviewed by experts outside of lab management and/or include broadly-based input from within the laboratory; research plans exist for all program areas; plans are consistent with known budgets and well-aligned with DOE interests; work follows the plan. |
| B | Research plans exist for all program areas; work follows the plan. |
| C | Research plans exist for most program areas; work does not always follow the plan. |
| D | Plans do not exist for a significant fraction of the lab's program areas, or significant work is conducted outside those plans. |
| F | No planning is done. |

3.3 Provide Efficient and Effective Communications and Responsiveness to Customer Needs

In determining the performance of the Objective the DOE evaluator(s) shall consider the following as measured by Program Office review/Oversight, etc.:

- The quality, accuracy and timeliness of responses to customer requests for information;
- The extent to which the laboratory keeps the customer informed of both positive and negative events at the laboratory so that the customer can deal effectively with both internal and external constituencies; and

- The ease of determining the appropriate contact (who is on-point for what).

The weight of this objective is 20%

| | |
|----------------|---|
| A to A+ | Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives <i>always</i> initiate a communication with HQ on emerging issues - there are no surprises. |
| B+ | Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt |
| B | Evidence of good communications is noted throughout the contractor organization and responses to requests for information provide the minimum requirements to meet HQ needs; with the exception of a few minor instances HQ is alerted to emerging issues. |
| C | Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues. |
| D | Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory. |
| F | Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated. |

| Science Program Office¹ | Letter Grade | Numerical Score | Weight | Weighted Score | Overall Score |
|--|---------------------|------------------------|---------------|-----------------------|----------------------|
| Office of Advanced Scientific Computing Research | | | | | |
| 3.1 Effective and Efficient Stewardship | | | 30% | | |
| 3.2 Project/Program Planning and Ongoing Management | | | 40% | | |
| 3.3 Communications and Responsiveness | | | 30% | | |
| Overall ASCR Total | | | | | |
| Office of Fusion Energy Sciences | | | | | |
| 3.1 Effective and Efficient Stewardship | | | 34% | | |
| 3.2 Project/Program Planning and Ongoing Management | | | 41% | | |
| 3.3 Communications and Responsiveness | | | 25% | | |
| Overall FES Total | | | | | |
| Office of Workforce Development for Teachers and Scientists | | | | | |
| 3.1 Effective and Efficient Stewardship | | | 20% | | |
| 3.2 Project/Program Planning and Ongoing Management | | | 40% | | |
| 3.3 Communications and Responsiveness | | | 40% | | |
| Overall WDTs Total | | | | | |

Table 3.1 – 3.0 Program Office Performance Goal Score Development

- 1 A complete listing of the S&T Goals & Objectives weighting for the SC Programs is provided within Attachment I to this plan.

| Science Program Office | Letter Grade | Numerical Score | Funding² Weight (BA) | Weighted Score | Overall Weighted Score |
|--|---------------------|------------------------|--|-----------------------|-------------------------------|
| Office of Advanced Scientific Computing Research | | | TBD% | | |
| Office of Fusion Energy Sciences | | | TBD% | | |
| Office of Workforce Development for Teachers and Scientists | | | TBD% | | |
| Performance Goal 3.0 Total | | | | | |

Table 3.2 – Overall Performance Goal Score Development

- 2 Final weights to be utilized for determining weighted scores will be determined following the end of the performance period and will be based on actual Budget authority for FY2007.

| | | | | | | | | | | | |
|------------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| Total Score | 4.3- 4.1 | 4.0- 3.8 | 3.7- 3.5 | 3.4- 3.1 | 3.0- 2.8 | 2.7- 2.5 | 2.4- 2.1 | 2.0- 1.8 | 1.7- 1.1 | 1.0- 0.8 | 0.7- 0.0 |
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 3.3 – 3.0 Goal Final Letter Grade

Office of Science Program Office Goal & Objective Weightings for FY 2007

| SC Program Offices | ASCR | FES | WDTS |
|--|-------------|------------|-------------|
| Goal #1 – Mission Accomplishment | | | |
| Goal Weight | 80 | 38 | 65 |
| 1a. Impact (significance) | 40 | 29 | 25 |
| 1b. Leadership (recognition of S&T accomplishments) | 30 | 36 | 30 |
| 1c. Output (productivity) (pass/fail) | 15 | 18 | 30 |
| 1d. Delivery (pass/fail) | 15 | 17 | 15 |
| | | | |
| Goal #2 – Design, Fabrication, Construction and Operation of Facilities | | | |
| Goal weight | 0 | 37 | 0 |
| 2a. Design of Facility (the initiation phase and the definition phase, i.e. activities leading up to CD-2) | n/a | 8 | n/a |
| 2b. Construction of Facility/Fabrication of Components (execution phase, Post CD-2 to CD-4) | n/a | 25 | n/a |
| 2c. Operation of Facility | n/a | 53 | n/a |
| 2d. Utilization of Facility to Grow and Support Lab's Research Base and External User Community | n/a | 14 | n/a |
| | | | |
| Goal #3 – Program Management | | | |
| Goal weight | 20 | 25 | 35 |
| 3a. Stewardship of Scientific Capabilities and Programmatic Vision | 30 | 34 | 20 |
| 3b. Program Planning and Management | 40 | 41 | 40 |
| 3c. Program Management-Communication & Responsiveness (to HQ) | 30 | 25 | 40 |
| | | | |

4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory

The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.

The weight of this goal is 20%

4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Quality of the vision developed for the Laboratory and effectiveness in identifying its distinctive characteristics;
- Quality of Strategic/Work Plan for achieving the approved Laboratory vision;
- Quality of required Laboratory Business Plan;
- Ability to establish and maintain long-term partnerships/relationships that advance/expand ongoing Laboratory missions and/or provide new opportunities/capabilities; and
- Effectiveness in developing and implementing commercial research and development opportunities that leverage accomplishment of DOE goals and projects with other federal agencies that advances the utilization of Laboratory technologies and capabilities.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provides evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this objective is 40%

- 4.1.1 Effectiveness in meeting required milestones in the development and/or update of the Laboratory vision and strategic/Work Plan Princeton will deliver effective integrated plans to sustain the viability of Princeton Plasma Physics Laboratory (PPPL) as a leading scientific institution into the foreseeable future.

4.1.2 The Laboratory Business Plan provides all required data in a clear and concise manner and is completed within established guidelines and schedules.

- Princeton will produce and implement a business plan that supports the Laboratory's Strategic Plan.

4.1.3 Strategic partnerships are developed that demonstrate the Laboratory's leadership, support the leveraging of DOE resources, and support collaborative programs with other DOE laboratories and industry groups.

- Princeton will provide a plan for the Work-for-Others (WFO) program that is consistent with The Strategic Plan and DOE guidelines

4.1.4 Mutually beneficial partnerships with key government, industry and University Partners are developed to advance the Office of Science Strategic Plan

- Princeton will maintain open, honest, and effective communication with the Laboratory's many communities about the mission of the Office of Science, the Laboratory's scientific and technological achievements and the priority initiatives as articulated in the Strategic Plan.

4.2 Provide for Responsive and Accountable Leadership throughout the Organization

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Corporate Leadership instills responsibility and accountability down and through the entire organization;
- Corporate Leadership, maintains a sense of the Laboratory (knowledge of significant progress and issues) and acts to ensure the resolution of significant issues; and
- Effectiveness and efficiency of Corporate Leadership in identifying and/or responding to Laboratory issues or opportunities for continuous improvement.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and

or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this objective is 30%

- 4.2.1 Corporate Office reviews the leadership of PPPL on at least an annual basis.
- 4.2.2 Corporate Office ensures that a succession plan for key Laboratory staff members is in place.
- 4.2.3 Corporate Office identifies and then ensures the resolution of strategic issues that can impact the overall performance of the Laboratory.
- 4.2.4 Corporate Leadership response to Laboratory issues was timely and immediate mitigating actions were identified and implemented as appropriate.
- 4.2.5 Corporate Leadership maintains cognizance of significant issues and corrective action plans and insures their timely closure.

The following expectations will achieve a B+ rating:

The timeliness and thoroughness (ability to identify significant issues) of reviews will be important to the rating. Identifying areas for continuous improvement will enhance the rating. The effectiveness and durability of the solutions will also be important considerations for achieving the target. Tracking corrective action plans will be a primary consideration for the rating. Reviewing the effectiveness (long term) of solutions can enhance the rating.

The role of the University and its Board of Trustees in managing the PPPL contract will be a factor in assessing the level of corporate leadership. Effective involvement is important.

4.3 Provide Efficient and Effective Corporate Office Support as Appropriate.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Corporate Office involvement in and support of business and other infrastructure process and procedure improvements;
- The willingness to enter into and effectiveness of joint appointments when appropriate;
- Where appropriate, the willingness to develop and work with the Department in implementing innovative financing agreements and/or provide private investments into the Laboratory;

- Corporate Leadership involvement in reviewing and establishing risk limits for Laboratory operations;
- Corporate Leadership involvement in assessing management approaches and systems utilized at the Laboratory to ensure they are comprehensive and sufficient to address significant risks attendant to Laboratory operations and strategic mission accomplishment.

The overall effectiveness/performance of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be used by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this objective is 30%

- 4.3.1 Level of University Leadership involvement in reviewing and establishing risk limits for Laboratory operations Princeton main campus elements will engage constructively with Laboratory Management to fully understand and, where necessary, assist in resolution of Laboratory issues.
- 4.3.2 Level of University Leadership involvement in assessing management approaches and systems utilized at the Laboratory to ensure they are comprehensive and sufficient to address significant risks attendant to Laboratory operations and strategic mission accomplishment Princeton will maintain effective processes to hold Laboratory Management Accountable for performance, including an effective and comprehensive self-assessment process and an effective employee performance management process.
- 4.3.3 Level and comprehensiveness of University Leadership assessments of the implementation of management systems and approaches to ensure they are working as intended and are effective controlling the risks attendant to Laboratory operations and mission accomplishment within acceptable risks Princeton will maintain an effective main campus led assurance process consistent with the requirement of the Prime Contract.
- 4.3.4 Level of University Leadership involvement in development of corrective actions for identified issues or deficiencies at the Laboratory; involvement in reviewing progress in implementing corrective action plans; and the effectiveness of the corrections as implemented. Princeton will provide resources to demonstrate its commitment to success of PPPL.

| ELEMENT | | | | | |
|---|--|--|-----|--|--|
| 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory | | | | | |
| 4.1 Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans | | | 40% | | |
| 4.2 Responsive and Accountable Leadership | | | 30% | | |
| 4.3 Provide Efficient and Effective Corporate Support as Appropriate | | | 30% | | |
| Performance Goal Total | | | | | |

Table 4.1 – 4.0 Goal Performance Rating Development

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
|-------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 4.2 – 4.0 Goal Final Letter Grade

5. 0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection

The contractor has the responsibility to protect the environment and guarantee the safety and health of its workers and the public. The Contractor protects the safety and health of the contractor workforce, subcontractors, the community, and the environment in all work performed at the site, and sustains and enhances the effectiveness of safety, health and environmental protection through a strong and well deployed Integrated Safety Management (ISM) System.

The weight of this goal is 20%

The Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection Goal shall measure the Contractor's overall success in preventing worker injury and illness; implement ISM down through and across the organization; and provide effective and efficient waste management, minimization, and pollution prevention.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that

Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 5.1 at the end of this section). The overall score earned is then compared to Table 5.2 to determine the overall Goal letter grade.

5.1 Provide a Work Environment that Protects Workers and the Environment.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the contractor's success in meeting ES&H goals.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 50%.

5.1.1 The number of reportable occurrences of release to the environment.

| # of ORPS Occurrences | 0 | 1 | 2 | 3 | 4 | 5 | >5 |
|------------------------------|----------|----------|----------|----------|----------|----------|--------------|
| Grade | A | A- | B+ | B | C | D | F |

5.1.2 The Contractor's progress in achieving and maintaining ES&H program performance as measured by the total reportable case rate (TRCR).

| TRCR | 0-0.30 | 0.31-.55 | .56-.65 | .66-.95 | .96-1.45 | 1.46-1.95 | 1.96-2.45 | 2.46-2.60 | >2.60 |
|--------------|---------------|-----------------|----------------|----------------|-----------------|------------------|------------------|------------------|-----------------|
| Grade | A+ | A- | B+ | B | B- | C+ | C | D | F |

5.1.3 The Contractor's progress in achieving and maintaining ES&H program performance as measured by the day away restricted or transferred (DART) case rate.

| DART | 0- 0.10 | 0.11- 0.25 | 0.26- .555 | .56- .80 | .81- 1.10 | 1.11- 1.30 | 1.31- 1.60 | >1.60 |
|-------|------------|---------------|---------------|-------------|--------------|---------------|---------------|-------|
| Grade | A+ | B+ | B | B- | C+ | C | D | F |

5.1.4 The number of instances of uncontrolled spread of radioactive contamination meeting the criteria of DOE M 232.1-2.

| Number of Contamination Instances Meeting DOE M 232.1-2 | 0 | 1 | 2 | 3 | >3 |
|--|---|----|---|---|----|
| Grade | A | B+ | C | D | F |

5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health, and Environmental Management.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The commitment of leadership to strong ES&H performance is appropriately demonstrated;
- The maintenance and appropriate utilization of hazard identification, prevention, and control processes/activities; and
- The degree to which scientists and workers are involved and engaged in the ES&H program at the bench level.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 30%.

5.2.1 Safety-related training for immediate managers, cognizant area managers, first line supervisors, and for staff is developed and implemented as appropriate. This includes training that is provided on a "Lessons Learned" basis.

- 5.2.2 An open reporting culture is maintained at the Laboratory while appropriately responding to ES&H incidents.
- 5.2.3 Staff demonstrates cognizance and engagement in the ES&H programs.
- 5.2.4 Timely identification of root causes to ES&H non-compliances and implementation of corrective actions.
- 5.2.5 The Laboratory ensures that all work receives sufficient ES&H reviews before the work is allowed to begin; to include ensuring hazards are appropriately identified and that applicable procedure content is adequate.

5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the efficiency and effectiveness of efforts to minimize the generation of waste.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 20%.

- 5.3.1 Success in meeting DOE- or Contractor-established environmental performance targets (e.g. recycling, environmentally preferred purchasing, etc.).

| Percent Targets Met | 100-98 | 97-96 | 95-91 | 90-86 | 85-81 | 80-76 | 75-71 | 70-66 | 65-61 | >60 |
|---------------------|--------|-------|-------|-------|-------|-------|-------|-------|-------|-----|
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | D | F |

5.3.2 Success in implementing planned projects that reduce the environmental impact of facility operations or environmental legacy.

| Percent Projects Completed | 100-96 | 95-91 | 90-86 | 85-81 | 80-76 | 75-71 | 70-66 | 65-61 | 60 | >60 |
|----------------------------|--------|-------|-------|-------|-------|-------|-------|-------|----|-----|
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | D | F |

| ELEMENT | Letter Grade | Numerical Score | Objective Weight | Total Points | Total Points |
|--|--------------|-----------------|------------------|--------------|--------------|
| 5.0 Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection | | | | | |
| 5.1 Provide a Work Environment that Protects Workers and the Environment | | | 50% | | |
| 5.2 Provide Efficient and Effective Implementation of Integrated Safety, Health and Environment Management | | | 30% | | |
| 5.3 Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention | | | 20% | | |
| Performance Goal Total | | | | | |

Table 5.1 – Program Office Performance Goal Score Development

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
|-------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 5.2 – 5.0 Goal Final Letter Grade

6.0 Deliver Efficient Effective and Responsive Business Systems and Resources that Enable the Successful Achievement of Laboratory Mission(s)

The Contractor sustains and enhances core business systems that provide efficient and effective support to Laboratory programs and its mission(s).

The weight of this goal is 20%

The Goal shall measure the Contractor's overall success in deploying, implementing,

and improving integrated business system that efficiently and effectively support the mission(s) of the Laboratory.

Each Objective within this Goal is to be assigned the appropriate numerical score by the evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 6.1 at the end of this section). The overall score earned is then compared to Table 6.2 to determine the overall Goal letter grade.

6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s).

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective financial management system(s) support;
- The effectiveness of the financial management system(s) as validated by internal and external audits and reviews;
- The continual improvement of financial management system(s) through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 35%.

- 6.1.1 Demonstrate an effective financial management system through external reviews, surveys and inspections. Results of internal and external audits conducted by Princeton's Internal Audit, DOE, GAO and external

organizations demonstrate adequate control over unallowable costs and adequate internal controls. The target will be no material findings. A material finding is a failure or shortcoming which produces an error or misstatement of fact that is sufficiently large as to influence a financial statement reader's judgment of a given situation.

- 6.1.2 The continual improvement of the Financial Management System as necessary addressing deficiencies identified through audit and review results, self assessments/internal performance measures, and other information. Also, PPPL demonstrates improvements to financial system through self assessment process which takes into account recommendations from internal and external reviewers as well as self identified improvements if applicable. PPPL will in addition demonstrate continuous improvement by actions taken as necessary to address issues in the management system during normal operations. All audit findings are resolved within agreed upon schedules and to the satisfaction of the Contracting Officer.
- 6.1.3 The Contractor's success in meeting financial management goals and expectations. The target will be the timeliness and completeness of the action. Examples of financial management system processes meeting expectations are: 1. Timely annual budget submission; 2. Budget execution-successful month end and year end closing; and 3. Day to day utilization of system for reporting to DOE and Lab management.
- 6.1.4 Employee and management awareness of financial management processes and procedures. The target is for changes to the PPPL financial management procedures to be effectively communicated to all PPPL staff, understood by the applicable staff members, and compliance with the procedures achieved.
- 6.1.5 Direct and Indirect costs are managed. The target is oversight of cost through use of PPPL generated revenue and cost projections; the management and control of overhead and support costs; and variance analysis. Variances must be within + 7% to be considered reasonable unless proper justification is provided. Maintain all variances to the satisfaction of the Contracting Officer.

6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s).

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective acquisition and property management system(s) support via Balanced Scorecard Program (BSC).

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 25%.

6.2.1 Demonstrate success in meeting Acquisition BSC objectives and targets as measured by the percent of targets met or exceeded.

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
|--------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified in the BSC (such as those identified below) but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. Other factors that may be considered in the evaluation of this objective include:

- The effectiveness of the acquisition system as reviewed by internal and external audits and reviews, including the results of DOE's Independent Peer Review Program;
- The continual improvement of the acquisition system through the use of results of audits, reviews, and other information;
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff;
- The adoption of new technologies, industry consensus standards, and/or work process improvements to streamline acquisition processes;
- The development of responsible corporate citizenship by establishing and utilizing desirable and effective business practices; and,
- The continuous professional development of the staff, including the achievement of professional certifications.

6.2.2 Demonstrate success in meeting Property Management BSC objectives and targets as measured by the percent of targets met or exceeded.

| Total Score | 100 % | 100-96% | 95-91% | 90-86% | 85-81% | 80-76% | 75-71% | 70-66% | 65-61% | 60-56% | 55% or below |
|--------------------|--------------|----------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified in the BSC (such as those identified below) but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective. Other factors that may be considered in the evaluation of this objective include:

- The effectiveness of the property management system(s) as validated by internal and external audits and reviews;
- The continual improvement of property management system(s) through the use of results of audits, review, and other information;
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff; and
- The adoption of new technologies, industry consensus standards, and/or work process improvements to streamline property management processes.

6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System and Diversity Program

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective human resources management system support;
- The effectiveness of the human resources management system as validated by internal and external audits and reviews;
- The continual improvement of the human resources management system through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 25%.

- 6.3.1 Effectiveness of HR systems/processes/services as validated through the use of a customer service survey.

Target: Customer feedback has been obtained for 1 or 2 HR programs annually, and responsive action is identified and initiated.

- 6.3.2 The Contractor's success in meeting human resource management goals and expectations.

Target: The merit increase percentage for the Laboratory staffs is equal to or ½% below that for corresponding University staff.

- 6.3.3 Continuous improvement of HR systems/processes as demonstrated through annual self-assessment.

Target: 1 or 2 major HR systems/processes are validated as meeting baseline standards/requirements, or have been streamlined, enhanced, or eliminated.

- 6.3.4 Increase diversity in the workforce by building non-traditional recruiting networks and resources to source candidates (e.g. student and professional organizations, historically black colleges and universities and minority serving institutions, special publications and temporary workers). Where opportunities exist, identify a diversified pool of candidates that will serve as a feeder for regular employment searches.

Target: 100% utilization of PPPL's Applicant Tracking System, Annual Reports and Staff Search Reports to identify women and minorities currently in the applicant pool.

6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- Demonstration of efficient and effective management systems support;
- The effectiveness of the management systems as validated by internal and external audits and reviews;
- The continual improvement of management systems through the use of results of audits, review, and other information; and
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of his Objective is 10%.

- 6.4.1 Demonstrate effective Internal Audit and Oversight; Quality Information Management; and Other Administrative Support Services management systems through external reviews, surveys and inspections.

The target will be no material findings. A material finding is a failure or shortcoming which is in violation of the contract, applicable laws and regulations, or a violation of internal controls sufficiently large as to cause a serious case of mismanagement, the charging of unallowable costs, or a situation that misstates the facts.

- 6.4.2 Corrective actions for reviews are completed in accordance with approved Corrective Action Plans.

The target will be completion within 45 days unless a different time frame is agreed upon by the Contracting Officer.

- 6.4.3 Contractor's success in meeting Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services management goals and expectations.

Through the use of a robust, comprehensive self assessment, PPPL will validate the effectiveness, efficiency and responsiveness of its management systems. The internal audit and self assessment program will articulate whether or not the systems are effective, efficient and responsive and/or need improvement. Where improvement is necessary, PPPL will complete actions within the agreed upon schedule to address those improvements.

- 6.4.4 Comparison (benchmark) of Information Technology (IT) cost performance with like industry and government entities for: 1) IT spending as a percent of overall cost plan; 2) percent of Laboratory employees in IT jobs; and 3) IT budget per end user.

The target is to be equal or better than the benchmark.

6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The proper stewardship of intellectual assets and Laboratory owned or originated technology;
- The market impacts created/generated as a result of technology transfer and deployment activities; and
- Communication products contributing to the transfer of Laboratory originated knowledge and technology.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 05%.

- 6.5.1 PPPL will timely report new inventions to DOE, filing U.S. and where appropriate, foreign patent applications to create intellectual property assets. The Laboratory provides DOE with all intellectual property related reports and documents required under the Prime Contract.
- 6.5.2 Intellectual assets deployed through license agreements, option agreements or technology assistance agreements resulting in royalty income or license income is used according to the DOE approved Royalty Plan and funds are accounted for and audited in accordance with requirements.
- 6.5.3 The laboratory takes a proactive approach to public outreach through such activities as maintaining current information on its Web pages, conducting presentations, issuing press releases and newsletters, distributing up-to-date pamphlets, and attending meetings and conferences where potential collaborations can be nurtured.

| ELEMENT | Letter Grade | Numerical Score | Weight | Weighted Score | Overall Score |
|---|--------------|-----------------|--------|----------------|---------------|
| 6.0 Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of the Laboratory Mission(s) | | | | | |
| 6.1 Provide an Efficient, Effective, and Responsive Financial Management System(s) | | | 35% | | |
| 6.2 Provide an Efficient, Effective, and Responsive Acquisition and Property Management System(s) | | | 25% | | |
| 6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System | | | 25% | | |
| 6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate | | | 10% | | |
| 6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets | | | 05% | | |
| Performance Goal Total | | | | | |

Table 6.1 – 6.0 Goal Performance Rating Development

| | | | | | | | | | | | |
|--------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 6.2 – 6.0 Goal Final Letter Grade

7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs

The Contractor provides appropriate planning for, construction and management of Laboratory facilities and infrastructures required to efficiently and effectively carry out current and future Science & Technology programs.

The weight of this goal is 20%

The Goal to Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs measures the overall

effectiveness and performance in planning for, delivering, and operations of Laboratory facilities and equipment needed to ensure required capabilities are present to meet today's and tomorrow's challenges.

The overall Goal score is computed by multiplying numerical scores earned by weight of each Objective, and summing them (Table 7.1).

7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs.

In measuring the performance of this Objective the DOE evaluator shall consider the following:

- The management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation, and cost effectiveness while meeting program missions, through effective facility utilization, maintenance and budget execution;
- The day-to-day management and utilization of space in the active portfolio;
- The maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets; and
- The management of energy use and conservation practices.

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 65%

7.1.1 Maintenance of active conventional facilities against DOE corporate Maintenance investment goals.

Maintenance Investment Index (MII) defined as total contractor funded maintenance for active conventional facilities divided by replacement value of these facilities.

Maintenance is the day-to-day work that is required to maintain and preserve plant and capital equipment in a condition suitable for it to be used for its designated purpose. Maintenance costs and work do not include the following:

- Regularly scheduled janitorial work such as cleaning;

- Work performed in relocating or installing partitions, office furniture, and other associated activities;
- Work usually associated with the removal, moving, and placement of equipment;
- Work aimed at expanding the capacity of an asset or otherwise upgrading it to serve needs different from or significantly greater than those originally intended;
- Improvement work performed directly by in-house workers or in support of construction contractors accomplishing an improvement;
- Work performed on special projects not directly in support of maintenance or construction; and
- Non-maintenance roads and grounds work, such as grass cutting and street sweeping.

| MII | <2.0 | 1.95-2.0 | 1.90-1.94 | 1.85-1.89 | 1.80-1.84 | 1.75-1.79 | 1.70-1.74 | 1.65-1.69 | 1.60-1.64 | 1.50-1.59 | >1.50 |
|-------|------|----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-------|
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

7.1.2: Effective execution of the goals within the Energy Performance Management Agreement.

Total building energy consumption declines consistent with planned site growth (or reduction). Reduce building energy consumption by 20% by 2015 (compared to FY03 baseline). A straight-line comparison shall be made to determine actual percent reduction achieved each year. [Note – The intent is for this metric to be used in subsequent years by increasing the reduction goals by 2% per year, through 2015 (across the Performance spectrum shown below.)]

| Reduction | <32% | 32-30.5% | 30.4-29.5% | 29.4-28.5% | 28.4-27.5% | 27.4-26.5% | 26.4-25.5% | 25.4-24.5% | 24.4-23.5% | 23.4-22.1% | >22% |
|-----------|------|----------|------------|------------|------------|------------|------------|------------|------------|------------|------|
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

7.1.3: Infrastructure system reliability as measured by a Reliability Index.

Total system reliability for electrical and building support systems

Infrastructure Reliability Index (RI)

$$(RI) = \frac{\text{Total Bldg Availability (ft}^2\text{--days)} - \text{Bldg Failures (ft}^2\text{--days)}}{\text{Total Building Availability (ft}^2\text{--days)}}$$

Details:

1. When an unplanned building system outage or failure occurs, which significantly disrupts occupants of a building or renders the space unusable, the Maintenance & Operations Branch Head will log outage. Data will be tracked monthly.
2. At the end of each reporting period (month), all building failures will be totaled to arrive at a figure for building and facility reliability for the fiscal year.
3. Standard square footage for each building will be from Plant Engineering's planning group space database.
4. Building and facility failure days will be based on the actual days the facilities are without critical services (or are unusable) times the normal population for those buildings.

| RI | <.995 | .990- .995 | .985- .989 | .980- .984 | .975- .979 | .970- .974 | .965- .969 | .960- .964 | .955- .959 | .950- .954 | >.950 |
|-------|-------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|-------|
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support Future Laboratory Programs.

The DOE evaluator(s) shall consider the following:

- Alignment of the Ten Year Site Plan to the Laboratory's Business plan;
- The facility planning, forecasting, and acquisition for effective translation of business needs into comprehensive and integrated facility site plans (ten year Plan);
- The effectiveness in producing quality site and facility planning documents as required;
- The involvement of relevant stakeholders in all appropriate aspects of facility planning and preparation of required documentation;
- Overall responsiveness to customer mission needs; and
- Efficiency in meeting Cost and Schedule Performance Index for construction projects (when appropriate).

The overall performance (outcomes/results) of the following set of measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by DOE evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 35%

7.2.1 The Infrastructure Recapitalization Program shall expedite work in a timely fashion to meet the needs of the laboratory mission. Prior year carryover shall be 100% costed in the following fiscal year. The Infrastructure Recapitalization Program consists of small capital projects valued less than \$5.0M and may include any of the following sponsors:

- General Plant Project (GPP) via SC, EM, SO or other Energy Efficiency Projects (EE)
- Strategic Laboratory Infrastructure Projects (SLI)
- Other small capitalized projects

Projects shall be managed efficiently, completed on time, within budget, and meet baseline scope requirements. Uncosted carryovers are minimized.

$$\text{Program Performance} = \frac{\text{Actual Expenditure (current year)}}{\text{Carryover (prior year) + Budget Authority (current year)}}$$

| | | | | | | | | | | | |
|----------------|-----------------|----------------------|-----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| Costing | >.800 | .760 .800 | .720- .759 | .680 .719 | .640 .679 | .600 .639 | .560 .599 | .520 .559 | .480 .519 | .440 .439 | >.440 |
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

7.2.2 Recapitalization of active conventional facilities. Recapitalization Investment Index (RII) defined as total contractor budgeted GPP and Line Items for active conventional facilities divided by replacement value of these facilities.

| | | | | | | | | | | | |
|--------------|----------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|----------------|
| RII | <0.7 | 0.65- 0.69 | 0.60- 0.64 | 0.55- 0.59 | 0.50- 0.54 | 0.45- 0.49 | 0.40- 0.44 | 0.35- 0.39 | 0.30- 0.34 | 0.25- 0.29 | >.25 |
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

7.2.3 Manage real property assets through performance based approaches to Real property life-cycle asset management (10 Year Site Plan)

The Ten Year Site Plan (TYSP) serves a number of purposes including: providing plans for management of maintenance and deferred maintenance; facility condition assessments; identification of modernization needs; changes in land use plans; tracking of facility management performance measures; and identification of facility and infrastructure issues that affect mission accomplishment. The Plan will be submitted to DOE on an annual basis (the target is based upon the DOE

schedule used FY05. If the DOE schedule for FY06 changes, the targets should be adjusted accordingly.)

| Deliverable | By 3/31 | By 4/7 | By 4/14 | By 4/21 | By 4/28 | By 5/5 | By 5/12 | By 5/19 | By 5/26 | By 6/2 | By 6/9 |
|-------------|------------|-----------|------------|------------|------------|-----------|------------|------------|------------|-----------|-----------|
| Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

| ELEMENT | Letter Grade | Numerical Score | Weight | Weighted Score | Overall Score |
|--|--------------|-----------------|--------|----------------|---------------|
| 7.0 Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs | | | | | |
| 7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs | | | 65% | | |
| 7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to Support Future Laboratory Programs | | | 35% | | |
| Performance Goal Total | | | | | |

Table 7.1 – 7.0 Goal Performance Rating Development

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
|-------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 7.2 – 7.0 Goal Final Letter Grade

8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems

The Contractor sustains and enhances the effectiveness of integrated safeguards and security and emergency management through a strong and well deployed system.

The weight of this goal is 20%

The Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems Goal shall measure the Contractor's overall success in safeguarding and securing Laboratory assets that supports the mission(s) of the Laboratory in an efficient and effective manner and provides an effective emergency management program.

Each Objective within this Goal is to be assigned the appropriate numerical score by the

evaluating office as described within Section I of this document. Each Objective has one or more performance measures, the outcomes of which collectively assist the evaluating office in determining the Contractor's overall performance in meeting that Objective. Each of the performance measures identifies significant tasks, activities, requirements, accomplishments, and/or milestones for which the outcomes/results of are important to the success of the corresponding Objective. Although other performance information available to the evaluating office from other sources may be used, the outcomes of performance measures identified for each Objective shall be the primary means of determining the Contractor's success in meeting an Objective. The overall Goal score is computed by multiplying numerical scores earned by the weight of each Objective, and summing them (see Table 8.1 at the end of this section). The overall score earned is then compared to Table 8.2 to determine the overall Goal letter grade.

8.1 Provide an Efficient and Effective Emergency Management System.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Emergency Management goals and expectations;
- The commitment of leadership to a strong Emergency Management performance is appropriately demonstrated; and
- The maintenance and appropriate utilization of Emergency Management procedures and processes are effectively demonstrated.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 35%.

- 8.1.1 Emergency Management events are reported and mitigated as necessary.
- 8.1.2 Results of internal and external reviews, surveys, and inspections demonstrate that Emergency Management systems are effective.
- 8.1.3 Employee and Management awareness of their Emergency Management responsibilities are demonstrated by the development (as necessary), maintenance and appropriate utilization of emergency management procedures and processes.

- PPPL's Emergency Readiness Assurance Plan (ERAP) is submitted prior to September 30th each year.
- PPPL's Base Program Documents are reviewed and revised, where required, annually.
- PPPL submits HQ-required metrics quarterly.

8.1.4 Complete corrective actions for reviews in accordance with approved Corrective Action Plans.

8.2 Provide an Efficient and Effective System for Cyber-Security.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Cyber-Security goals and expectations is demonstrated through external reviews, surveys and inspections;
- The commitment of leadership to a strong Cyber-Security performance is appropriately demonstrated;
- Integration of Cyber-Security into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of Cyber-Security risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 35%.

- 8.2.1 Cyber-Security Events are reported and mitigated as necessary.
- 8.2.2 Demonstrate an effective Cyber-Security system through external reviews, surveys and inspections.
- 8.2.3 Ability to complete corrective actions for reviews in accordance with approved Corrective Action Plans.
- 8.2.4 Employee and Management awareness of their Cyber-Security responsibilities is demonstrated through external reviews, surveys, and inspections.

8.3 Provide an Efficient and Effective System for the Protection of Property.

In measuring the performance of this Objective the DOE evaluator(s) shall consider the following:

- The Contractor's success in meeting Safeguards and Security goals and expectations;
- The commitment of leadership to strong Safeguards and Security performance is appropriately demonstrated;
- Integration of Safeguards and Security into the culture of the organization for effective deployment of the system is demonstrated; and
- The maintenance and appropriate utilization of Safeguards and Security risk identification, prevention, and control processes/activities.

The overall performance (outcomes/results) of the following set of performance measures (tasks, activities, requirements, accomplishments, and/or milestones) shall be utilized by evaluators as the primary measure of the Contractor's success in meeting this Objective and for determining the numerical score awarded. The evaluation of this Objective may also consider other tasks, activities, requirements, accomplishments, and/or milestones not otherwise identified below but that provide evidence to the effectiveness/performance of the Contractor in meeting this Objective.

The weight of this Objective is 30%.

8.3.1 Safeguards and Security Events are reported and mitigated as necessary.

8.3.2 Demonstrate an effective Safeguards and Security system through external reviews, surveys and inspections.

8.3.3 Ability to complete corrective actions for reviews in accordance with approved Corrective Action Plans.

8.3.4 Employee and Management awareness of their Safeguards and Security responsibilities.

No sensitive information at PPPL

| ELEMENT | Letter Grade | Numerical Score | Weight | Weighted Score | Overall Score |
|--|--------------|-----------------|--------|----------------|---------------|
| 8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) | | | | | |
| 8.1 Provide an Efficient and | | | 35% | | |

| ELEMENT | Letter Grade | Numerical Score | Weight | Weighted Score | Overall Score |
|--|--------------|-----------------|--------|----------------|---------------|
| Effective Emergency Management System | | | | | |
| 8.2 Provide an Efficient and Effective System for Cyber-Security | | | 35% | | |
| 8.3 Provide an Efficient and Effective System for the Protection of Property | | | 30% | | |
| | | | | | |
| Performance Goal Total | | | | | |

Table 8.1 – 8.0 Goal Performance Rating Development

| Total Score | 4.3-4.1 | 4.0-3.8 | 3.7-3.5 | 3.4-3.1 | 3.0-2.8 | 2.7-2.5 | 2.4-2.1 | 2.0-1.8 | 1.7-1.1 | 1.0-0.8 | 0.7-0.0 |
|-------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| Final Grade | A+ | A | A- | B+ | B | B- | C+ | C | C- | D | F |

Table 8.2 – 8.0 Goal Final Letter Grade

III. FY07 TABULATION OF PERFORMANCE GOALS AND OBJECTIVES

| Performance Goals and Objectives | Letter Grade | Numerical Score | Weight | Weighted Score | Total Score |
|---|---------------------|------------------------|---------------|-----------------------|--------------------|
| | | | | | |
| SCIENCE AND TECHNOLOGY | | | | | |
| | | | | | |
| 1.0 Provide for Efficient and Effective Mission Accomplishment | | | 50% | | |
| | | | | | |
| 1.1. Impact (Significance) | | | 30% | | |
| 1.2. Leadership (Recognition of Science & Technology Accomplishments) | | | 20% | | |
| 1.3. Output (Productivity) | | | 30% | | |
| 1.4. Delivery (meeting goals, milestones, delivering on promises) | | | 20% | | |
| | | | | | |
| 2.0 Provide for Effective and Efficient Design, Fabrication, Construction and Operations of Research Facilities | | | 25% | | |
| | | | | | |
| 2.1. Provide Effective Facility Design(s) | | | 22% | | |
| 2.2. Provide for Effective and Efficient Construction of Facilities and/or Fabrication of Components (execution phase, Post CD-2 to CD-4) | | | 23% | | |
| 2.3. Provide Efficient and Effective Operation of Facilities | | | 45% | | |
| 2.4. Provide Effective Utilization of Facility to Grow and Support Laboratory's Research Base | | | 10% | | |
| | | | | | |
| 3.0 Provide Effective and Efficient Science and Technology Program Management | | | 25% | | |
| | | | | | |
| 3.1 Provide Effective and Efficient Stewardship of Scientific Capabilities and Programmatic Vision | | | 40% | | |
| 3.2 Provide Effective and Efficient Science and Technology Project/Program Planning and Ongoing Management | | | 40% | | |
| 3.3. Provide Effective and Efficient | | | 20% | | |

| | | | | | |
|--|--|--|------------|--|--|
| Communications and Responsiveness to Customer Needs | | | | | |
| | | | | | |
| MANAGEMENT AND OPERATIONS | | | | | |
| | | | | | |
| 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory | | | 20% | | |
| | | | | | |
| 4.1 Provide a Distinctive Vision for the Accomplishment of the Vision to Include Strong Partnership Required to Carry Out the Plans | | | 40% | | |
| 4.2 Provide for Responsive and Accountable Leadership throughout the Organization | | | 30% | | |
| 4.3. Provide Effective and Efficient Corporate Support as Appropriate | | | 30% | | |
| | | | | | |
| 5.0 Sustains and Enhances the Effectiveness of Safety, Health and Environmental Protection | | | 20% | | |
| | | | | | |
| 5.1 Provide a Work Environment that Protects Workers and the Environment | | | 50% | | |
| 5.2 Provide Effective and Efficient Implementation of Integrated Safety, Health, and Environment Management | | | 30% | | |
| 5.3 Provide Effective and Efficient Waste Management, Minimization, and Pollution Prevention | | | 20% | | |
| | | | | | |
| 6.Deliver Efficient, Effective and Responsive Business Systems and Resources that Enable the Successful Achievement of Laboratory Mission | | | 20% | | |
| | | | | | |
| 6.1 Provide an Effective, and Responsive Financial management System(s) | | | 35% | | |
| 6.2 Provide for Efficient, Effective, Responsive Acquisition and Property Management System | | | 25% | | |

| | | | | | |
|---|--|--|------------|--|--|
| 6.3 Provide an Efficient, Effective, and Responsive Human Resources Management System | | | 25% | | |
| 6.4 Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate | | | 10% | | |
| 6.5 Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets | | | 05% | | |
| | | | | | |
| 7.Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs | | | 20% | | |
| | | | | | |
| 7.1 Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs | | | 65% | | |
| 7.2 Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs | | | 35% | | |
| | | | | | |
| 8.0 Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems | | | 20% | | |
| 8.1 Provide as Effective and Efficient Emergency Management System | | | 35% | | |
| 8.2 Provide an Efficient and Effective System for Cyber-Security | | | 35% | | |
| 8.3 Provide an Effective and Efficient System for the Protection of Property | | | 30% | | |